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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/993,656
Filing Date	November 27, 2001
First Named Inventor	Luis F. Cabrera
Group Art Unit	2152
Examiner Name	TBD
Attorney Docket Number	003797.00214


Total Number of Pages in This Submission

### ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
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Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Ross A. Dannenberg, Reg. No. 49,024
Signature	
Date	February 6, 2002

### CERTIFICATE OF MAILING

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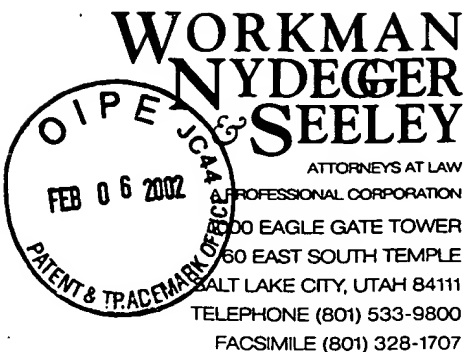
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EXPRESS MAIL LABEL NO.: EL 813 863 960 US

PATENT APPLICATION

Docket No.: 14531.39.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

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Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- X Form PTO-1449 list of seven (7) references submitted for consideration.
- X Legible copies of the listed references or their relevant portions.
- All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

\_\_\_ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.

\_\_\_ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

\_\_\_ Promptness Certification.

\_\_\_ Check No. \_\_\_\_\_ in the amount of \$240.00 constituting submission fee under 37 C.F.R. 1.17(p);

\_\_\_ Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_.

X In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 6 day of FEBRUARY, 2002.

Respectfully submitted,



ERIC M. KAMERATH  
Attorney for Applicant  
Registration No. 46,081



**022913**

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02/08/02

# 2  
BT  
CP/2155  
03-18-02

Applicant(s): Joy A. Mundy et al.			Docket No. 14531.39.1	
Serial No. 10/003,808	Filing Date November 2, 2001	Confirmation No. 6499	Examiner unassigned	Group Art Unit 2155

Invention: COST-EFFECTIVE ACCESS TO NETWORK RESOURCES

I hereby certify that the Transmittal letter (2 pages) (in triplicate); Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (2 pgs); Legible Copies of Seven (7) Cited References; and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, DC 20231 on FEB. 6, 2002.

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EXPRESS MAIL LABEL NO.: EL 813 863 960 US

PATENT APPLICATION

Docket No.: 14531.39.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joy A. Mundy et al.

Serial No.: 10/003,808

Filed: November 2, 2001

Confirmation No.: 6499

For: COST-EFFECTIVE ACCESS  
TO NETWORK RESOURCES

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INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of

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which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 6 day of FEBRUARY, 2002.

Respectfully submitted,



ERIC M. KAMERATH  
Attorney for Applicant  
Registration No. 46,081



**022913**

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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Luis F. Cabrera et al.

Serial No: 09/993,656

Filed: November 27, 2001

Group Art No. 2152

Examiner: TBA

Docket No. 003797.00214

For: VIRTUAL NETWORK WITH ADAPTIVE DISPATCHER

INFORMATION DISCLOSURE STATEMENT

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Assistant Commissioner for Patents and Trademarks  
Washington, D.C. 20231

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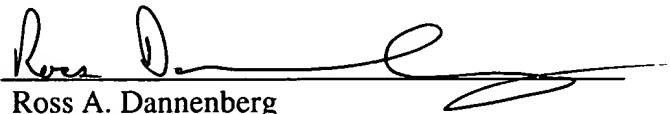
Pursuant to 37 C.F.R. §1.56 and in compliance with 37 C.F.R. §1.97, Applicant submits herewith two Form PTO-1449 identifying information for consideration by the Examiner. A copy of the reference cited is enclosed.

Applicant does not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as a reference against the claims of the present application.

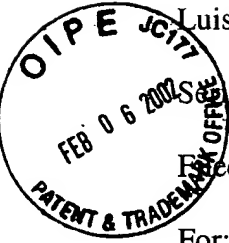
Consideration of the cited information and making the same of record in the prosecution of the above-noted application are respectfully requested. Should the Patent and Trademark Office determine that a fee is required, please charge our Deposit Account No. 19-0733.

Respectfully submitted,

**BANNER & WITCOFF, LTD.**

By:   
Ross A. Dannenberg  
Registration No. 49,024

1001 G. Street, N.W.  
Washington, D.C. 20001-4597  
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Dated: February 6, 2002  
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EXPRESS MAIL LABEL NO.: EL 813 863 960 US

Form PTO-1449

Sheet 2 of 2

Applicant: Joy A. Mundy et al.

Serial No.: 10/003,808

Att'y Docket No.: 14531.39.1

Filing Date: November 2, 2001

Group: 2155

Confirmation No.: 6499

For: COST-EFFECTIVE ACCESS TO NETWORK RESOURCES

### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Form PTO-1449

Sheet 1 of 1

Applicant: Joy A. Mundy et al.

Serial No.: 10/003,808

Att'y Docket No.: 14531.39.1

Filing Date: November 2, 2001

Group: 2155

Confirmation No.: 6499

For: COST-EFFECTIVE ACCESS TO NETWORK RESOURCES

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INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A1.	4,852,151	7/1989	Dittakavi et al.	379	97	2/24/88
_____ A2.	4,922,523	5/1990	Hashimoto	379	96	8/07/89
_____ A3.	4,975,944	12/1990	Cho	379	209	8/31/89
_____ A4.	4,995,074	2/1991	Goldman et al.	379	97	4/03/89
_____ A5.	5,241,587	8/1993	Horton et al.	379	92	7/03/91
_____ A6.	5,862,339	1/1999	Bonnauer et al.	395	200.57	7/09/96
_____ A7.	6,145,086	11/2000	Bellemore et al.	713	202	4/26/99

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INFORMATION DISCLOSURE

CITATION

Sheet 1 of 2

Attorney Docket No.  
003797.00214

Serial No.  
09/993,656

Applicant(s): Luis F. Cabrera et al.

Filing Date: November 27, 2001

Group: 2152

U.S. PATENT DOCUMENTS

Examiner Initial	Patent No.	Date	Name	Class	Subclass	Filing Date (if appropriate)
	6,243,749	6/5/01	Sitaraman et al.			
	6,151,618	11/21/00	Wahbe et al.			
	6,119,171	9/12/00	Alkhatib			
	6,006,259	12/21/99	Adelman et al.			
	5,761,477	6/2/98	Wahbe et al.			

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FOREIGN PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Country	Class	Subclass	Translation	
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OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

	"TIBCO Rendezvous – a TIBCO Active Enterprise Product", <a href="http://www.tibco.com/products/rv/index.html">http://www.tibco.com/products/rv/index.html</a> printed December 10, 2001, 2 Pages
	"TIBCO Rendezvous TX – a TIBCO Active Enterprise Product", <a href="http://www.tibco.com/products/rv/rvtx.html">http://www.tibco.com/products/rv/rvtx.html</a> printed December 10, 2001, 2 Pages
	"TIBCO Enterprise for JMS", <a href="http://www.tibco.com/products/enterprise_for_jms.html">http://www.tibco.com/products/enterprise_for_jms.html</a> printed December 10, 2001, 1 Page
	Henrik F. Nielsen et al., "SOAP Routing Protocol" <a href="http://www.gotdotnet.com/team/xml_wsspecs/soap-rp/default.html">http://www.gotdotnet.com/team/xml_wsspecs/soap-rp/default.html</a> , May 23, 2001, 36 Pages
	G. Robert Malan et al., "An Extensible Probe Architecture for Network Protocol Performance Measurement", Department of Electrical Engineering And Computer Science, University of Michigan, SIGCOMM 1998, Vancouver, Pages 215-227
	Kunihiko Toumura et al., "Implementing Multiple Name Spaces Using An Active Network Technology", June 2000, Pages 1665-1676
	David Potter et al., "Connecting minis to local nets with discrete modules", Data Communications, June 1983, Pages 161-164
	Steven M. Dean et al., "CONE: A Software Environment for Network Protocols", Hewlett-Packard Journal, February 1990, Pages 18-28

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USPTO Form 1449 U.S. Department of Commerce  
Patent and Trademark Office  
**INFORMATION DISCLOSURE**  
**CITATION**  
Sheet 2 of 2

Attorney Docket No.  
003797.00214

Serial No.  
09/993,656

Applicant(s): Luis F. Cabrera et al.

Filing Date: November 27, 2001

Group: 2152

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						YES NO

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**OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)**

	Fumiko Kouda et al., "Representation Of Descriptive Name and the Resolution Method with a Semantic Network Structure", Journal of Information Processing, Vol. 15, No. 2, 1992, Pages 280-292
	Henrik F. Nielsen et al., "Direct Internet Message Encapsulation", May 23, 2001, 13 Pages
	B. Ramsey, "An RTOS with its Nest is pure dynamite", Electronic Engineering Times, September 11, 1995, No. 865, Page 76, 3 pages
	Richard Bowers, "Apple's Free Internet Domain Name Server Software", Post-Newsweek Business Information, Inc., May 2, 1996, 1 page

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